



## PROFESSIONAL INVESTOR ASSESSMENT AND DECLARATION FORM

### 專業投資者評估及聲明書

As a licensed corporation regulated by the Hong Kong Securities and Futures Commission (the "SFC"), Sunfund Securities Limited ("we") are required to comply with the provisions of the Securities and Futures Ordinance (Cap.571 of the Laws of Hong Kong) (the "SFO"), requirements prescribed by the SFC and other applicable laws and regulations.

作為被香港證券及期貨事務監察委員會(下稱「證監會」)監管的持牌法團，東皓證券有限公司(下稱「我們」)必需遵守《證券及期貨條例》(香港法例第 571 章)(下稱「證券及期貨條例」)、證監會所制定的規則及其他相關的法規。

For the purposes of Sections 103, 174, 175 of the SFO and Schedule 17 of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap.32 of the Laws of Hong Kong) (the "CWUMPO"), the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules (Cap.571Q of the Laws of Hong Kong) (the "Contract Notes Rules") and the SFC's Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (the "Code"), we propose to classify you or your company as a "Professional Investor" on the basis that you or your company may fall under paragraphs (a) to (j) of the definition of "Professional Investor" in Part 1 of Schedule 1 to the SFO and/or paragraphs (a) to (d) of Rule 4 of the Securities and Futures (Professional Investor) Rules (Cap.571D of the Laws of Hong Kong) (the "PI Rules").

就「證券及期貨條例」第 103、174 和 175 條、《公司(清盤及雜項條文)條例》(香港法例第 32 章)(下稱「清盤及雜項條文條例」)附例 17、《證券及期貨(成交單據、戶口結單及收據)規則》(香港法例第 571Q 章)(下稱「成交單據、戶口結單及收據規則」)及證券及期貨事務監察委員會持牌人或註冊人操守準則(下稱「證監會操守準則」)，我們建議把閣下或閣下公司依照「證券及期貨條例」附表 1 第 1 部「專業投資者」定義第(a)至(j)段及/或「專業投資者規則」第 4 條第(a), (c), 或(d)段分類成為「專業投資者」。

#### Section 1

##### 第一部份

#### Types of PI

##### 專業投資者的類別

##### *Institutional PI* 機構專業投資者

An entity falling under paragraph (a) to (i) of the definition of "Professional Investor" in Part 1 of Schedule 1 to the SFO.  
「證券及期貨條例」附表 1 第 1 部「專業投資者」定義第(a)至(i)段所指的機構。

##### *Corporate PI* 法團專業投資者

A trust corporations, corporations or partnerships falling under paragraphs (a), (c) or (d) of Rule 4 of the PI Rules.  
「專業投資者規則」第 4 條第(a), (c), 或(d)段所指的信託法團、法團或合夥。

##### (i) *Qualified Corporate PI* 合資格法團專業投資者

For the purpose of this form, a Qualified Corporate PI means a Corporate PI that satisfies all the three assessment criteria set out in paragraph 15.3A(b) of the Code in relation to the relevant products and markets.  
在此聲明書中，合資格法團專業投資者指，就有關產品及/或市場，符合「證監會操守準則」第 15.3A(b) 段所載的全部三項評估準則的法團專業投資者。

##### (ii) *Unqualified Corporate PI* 未合資格法團專業投資者

For the purpose of this form, an Unqualified Corporate PI means a Corporate PI that does not satisfy any or all of the three assessment criteria set out in paragraph 15.3A(b) of the Code in relation to the relevant products and markets.  
在此聲明書中，未合資格法團專業投資者指，就有關產品及/或市場，未能符合「證監會操守準則」第 15.3A(b) 段所載的任何一項評估準則的法團專業投資者。

##### *Individual PI* 個人專業投資者

An individual falling under paragraph (b) of Rule 4 of the PI Rules.  
「專業投資者規則」第 4 條第(b)段所指的個人。

#### Section 2

##### 第二部份

#### Risks and consequences of being treated as a PI

##### 被視為專業投資者的風險和後果

As a consequence of being classified as a PI, we will be able to offer you or your company certain investment products which are only available to PI. In particular, we will be able to offer you securities or investment products which are not authorised by the SFC and/or in relation to which the prospectus requirements under the CWUMPO do not apply.

若閣下或閣下公司被分類成為專業投資者，我們將能為閣下或閣下公司提供只給專業投資者的投資機會。其中，我們將能夠為閣下或閣下公司提供未被證監會認可及/或未受「清盤及雜項條文條例」中有關於招股章程的要求所規管的證券或投資產品。

In addition, you or your company should be aware that we would not be required to provide you with materials or information in relation to any offer of securities in the form prescribed in section 175 of the SFO.

此外，閣下及閣下公司應注意，對於任何證券的要約，我們將不需要為您提供「證券及期貨條例」第 175 條規定形式下的資料或資訊。

Unless you or your company object, we will not be obligated to provide you with any contract notes, statements of account or receipts (as the case may be) under the Contract Notes Rules.

除非閣下或閣下公司提出反對，我們將無需根據「成交單據、戶口結單及收據規則」的要求提供任何成交單據、戶口結單或收據(視乎情況而定)。

## Section 2 (Cont.)

### 第二部份 (續)

## Risks and consequences of being treated as a PI

### 被視為專業投資者的風險和後果

We would be exempted from the provisions set out in paragraph 15.5 of the Code. In particular, we would not be obligated to\*: 我們將獲豁免遵從「證監會操守準則」第 15.5 段所載的條文。其中，我們將沒有責任\*:

- provide you or your company with information in relation to us or, the identity and status of its employees and others acting on our behalf unless you specifically request such information (paragraph 8.1 of the Code);  
向閣下或閣下公司提供我們的業務資料，以及與本人/吾等聯絡之僱員或其他代表其行事的人士的身份和受僱狀況的資料(「證監會操守準則」第 8.1 段)；
- confirm promptly with you or your company the essential features of a transaction after effecting it for you (paragraph 4 of Schedule 3 and paragraph 18 of Schedule 6 to the Code); and  
盡快向閣下或閣下公司確認有關該宗交易的重點(「證監會操守準則」第 8.2 段、附表 3 第 4 段及附表 6 第 18 段)；及
- provide you or your company with documentation on the Nasdaq-Amex Pilot Program (paragraph 1 of Schedule 3 to the Code).  
向閣下或閣下公司提供關於納斯達克－美國證券交易所試驗計劃的資料文件(「證監會操守準則」附表 3 第 1 段)。

#### Additional risk and consequences of being treated as an Institutional PI or Qualified Corporate PI:

被視為 **機構專業投資者** 及 **合資格法團專業投資者** 的額外風險及後果：

If your entity/company is classified as an Institutional PI or a Qualified Corporate PI, we would also be exempted from the provisions set out in paragraph 15.4 of the Code. In particular, we would not be obligated to\*:

若閣下機構或公司被分類成為機構專業投資者或合資格法團專業投資者，我們將額外獲豁免遵從「證監會操守準則」第 15.4 段所載的條文。其中，我們將沒有責任\*:

- establish your financial situation (other than to establish your status as a Professional Investor), investment experience and investment objectives (paragraphs 5.1 and paragraphs 2(d) and 2(e) of Schedule 6 to the Code);  
確立閣下機構或公司的財務狀況、投資經驗及投資目標(「證監會操守準則」第 5.1 段及附表 6 第 2(d)及 2(e)段)；
- ensure the suitability of any recommendation or solicitation to you (paragraph 5.2 and paragraph 49 of Schedule 6 to the Code);  
確保對閣下機構或公司所作出的建議或招攬行為是合適的(「證監會操守準則」第 5.2 段及附表 6 第 49 段)；
- assess your knowledge of derivatives or characterize you based thereon (paragraph 5.1A of the Code);  
評估閣下機構或公司對衍生工具的認識，並根據閣下機構或公司對衍生工具的認識將閣下機構或公司分類(「證監會操守準則」第 5.1A 段)；
- enter into a written agreement with you unless we specifically require or you specifically request otherwise (paragraph 6.1, paragraph 2 of Schedule 3, paragraph 2 of Schedule 4 and paragraph 1 of Schedule 6, to the Code);  
與閣下機構或公司訂立協議書及提供相關的風險披露聲明(「證監會操守準則」第 6.1 段、附表 3 第 2 段、附表 4 第 2 段及附表 6 第 1 段)；
- disclose transaction related information (paragraph 8.3A of the Code);  
向閣下機構或公司披露交易相關的資料(「證監會操守準則」第 8.3A 段)；
- obtain authority in a written form prior to effecting transactions on your behalf, without specific authority (paragraph 7.1(a)(ii) of the Code);  
在為閣下機構或公司進行未經閣下機構或公司特定授權的交易之前，先向該閣下機構或公司取得書面授權(「證監會操守準則」第 7.1(a)(ii)段)；
- explain the authority described in paragraph 7.1(a)(ii) of the Code to you and confirm your understanding thereof, on an annual basis (paragraph 7.1(b) of the Code); and  
向閣下機構或公司解釋「證監會操守準則」第 7.1(a)(ii)段所述的授權，並每年確認該項授權一次(「證監會操守準則」第 7.1(b)段)；及
- disclose benefits receivable for effecting transactions for you under a discretionary account (paragraph 7.2 of the Code).  
向閣下機構或公司披露因應在委託帳戶下為向閣下機構或公司進行交易而可取得的收益(「證監會操守準則」第 7.2 段)。

\* For Corporate PI, and Individual PI, we can be exempted from the provisions set out in paragraph 15.4 and/or 15.5 of the Code only if we:

對於法團專業投資者及個人專業投資者，如我們希望獲豁免遵從「證監會操守準則」第 15.4 及/或 15.5 段所載的條文，我們必須：

- obtain a written and signed declaration from you or your company;  
向閣下或閣下公司取得經簽署的聲明書；
- explain to you or your company the risks and consequences of being treated as a PI;  
向閣下或閣下公司詳盡說明被視為專業投資者的後果；
- explain to you or your company that you or your company has the right to withdraw from being treated as a PI in respect of all products and/or markets or any part thereof; and  
向閣下或閣下公司詳盡說明閣下或閣下公司享有就所有或部分特定產品及市場隨時撤回被視為專業投資者的權利；及
- carry out an annual confirmation exercise to ensure that you or your company continues to fulfil the requisite requirements under the PI Rules, remind you or your company the risks and consequences of being treated as a PI and that you or your company has a right to withdraw from being treated as such.  
進行每年一次的確認，從而確保閣下與閣下公司繼續符合「專業投資者規則」所界定的有關規定、提醒閣下或閣下公司被視為專業投資者的風險及後果以及閣下或閣下公司享有撤回被視為專業投資者的權利。

### Section 3

### Institutional PI (PI under paragraph (a) to (i) of the definition of "Professional Investor" in Part 1 of Schedule 1 to the SFO)

#### 第三部份

#### 機構專業投資者 (「證券及期貨條例」附表 1 第 1 部 "專業投資者" 定義第(a)至(i)段所指的专业投資者)

If your entity falls under one of the categories below, it would be classified as an **Institutional PI**. Please check the appropriate box below and proceed to **Section 7**.  
若閣下機構符合以下其中一個類別，閣下機構將會被分類成為 **機構專業投資者**。請在適當的類別打勾然後前往**第七部份**。

If you or your company does not fall under any of the categories below, please proceed to **Section 4**.

若閣下或閣下公司不符合以下任何一個類別，請前往**第四部份**。

- ☐ Recognized exchange company/ recognized clearing house/ automated trading services provider  
認可交易所/ 認可結算所/ 自動化交易服務提供者
- ☐ Hong Kong licensed corporation or any offshore equivalent  
香港持牌法團或任何同等的海外機構
- ☐ Hong Kong regulated bank or any offshore equivalent  
香港受規管的銀行或任何同等的海外機構
- ☐ Hong Kong regulated insurance company or any offshore equivalent  
香港獲授權的保險公司或任何同等的海外機構
- ☐ Hong Kong SFC-authorized fund or any offshore equivalent  
香港證監會認可基金或任何同等的海外基金
- ☐ A person who operates a Hong Kong SFC-authorized fund or any offshore equivalent  
負責營運香港證監會認可基金或任何同等的海外機構的人
- ☐ Government (other than a municipal government authority)/ central bank/ multilateral agency  
政府(市政府當局除外)/ 中央銀行/ 多邊機構
- ☐ Hong Kong registered MPF scheme or its constituent fund  
香港註冊的強制性公積金計劃或該等計劃的成分基金
- ☐ Approved trustee/ service provider regulated under the MPF Schemes Ordinance/ investment manager of the registered MPF scheme or its constituent fund  
香港註冊的強制性公積金計劃或該等計劃的成分基金的核准受託人/ 服務提供者/ 投資經理
- ☐ Hong Kong registered occupational retirement scheme or any offshore equivalent  
香港註冊的職業退休計劃或任何同等的海外計劃
- ☐ Administrator of a Hong Kong registered occupational retirement scheme or any offshore equivalent  
香港註冊的職業退休計劃或任何同等的海外計劃的管理人
- ☐ Company wholly owned by a licensed corporation, a bank in Hong Kong or their offshore equivalent  
香港持牌法團/ 受規管銀行或任何同等的海外機構的全資附屬公司
- ☐ Company which wholly owns a licensed corporation, a bank in Hong Kong or their offshore equivalent ("**Qualified Holding Company**")  
全資擁有任何香港持牌法團/ 受規管銀行或任何同等的海外機構的公司(下稱"**合資格控股公司**")
- ☐ Company wholly owned by a **Qualified Holding Company**.  
**合資格控股公司**的全資附屬公司

Please provide the relevant supporting document(s).

請提供相關證明文件。

**Section 4**  
**第四部份**

**Individual PI and Corporate PI (PI under paragraphs (a) to (d) of Rule 4 of the PI Rules)**  
**專業投資者評估 (「專業投資者規則」第四條的第(a)至(d)段所指的专业投資者)**

If you or your company fall/falls under one of the types below, please check the appropriate box below.  
如閣下或閣下的公司屬於以下其中一個類別，請在適當的類別打勾。

If you or your company do not/does not fall under any of the categories in Section 3 and below, you or your company cannot be classified as a PI. Please consult your relationship manager for the implication of not being classified as a PI.  
如閣下或閣下的公司並不屬於第一部份及以下任何類別，閣下與閣下的公司不能被分類成為專業投資者。請諮詢閣下或閣下的公司的投資顧問有關未能成為專業投資者的對閣下或閣下公司的影響。

<b>Types</b> <b>類別</b>	<b>Requirements</b> <b>準則</b>	<b>Required Supporting Documents</b> <b>所需的證明文件</b>
<input type="checkbox"/> <b>(A) Trust Corporation</b> <b>信託法團</b>  Please proceed to <b>Section 5</b> and complete the Corporate PI assessment. 請前往 <b>第五部份</b> 進行法團投資者評估。	Having been entrusted under the trust or trusts of which your company acts as a trustee with total assets of not less than HK\$40 million (or equivalent in foreign currency) at the signing date of this declaration. 在本聲明的簽訂日期，擔任一項或多於一項信託的信託人，而在該項或該等信託下獲託付的總資產不少於港幣\$40,000,000 (或等值外幣)。	<ul style="list-style-type: none"> <li>Most recent audited financial statement prepared within the last 16 months; 在最近 16 個月內由核數師發出的審計財務報表；</li> <li>A statement of account or certificate issued by a custodian (e.g. banks, licensed corporations, or other custodians) within the last 12 months; 在最近 12 個月內由保管人(例如：銀行、持牌法團、或其他保管人)發出的帳戶結單或證明書；</li> <li>A certificate issued by an auditor or a certified public accountant within the last 12 months; and/or 在最近 12 個月內由核數師或會計師發出的證明書；及/或</li> <li>A public filing submitted by or on behalf of your company within the last 12 months. 由或代表閣下公司提交的公開檔案。</li> </ul>
<input type="checkbox"/> <b>(B) Individual</b> <b>個人</b>  You are classified as an <b>Individual PI</b> . Please proceed to <b>Section 6</b> . 你將被分類成為 <b>個人專業投資者</b> 。 請前往 <b>第六部份</b> 。	Having a portfolio of at least HK\$8 million (or equivalent in foreign currency) in securities, certificates of deposit and/or currency deposits at the signing date of this declaration, when any one or more of the following are taken into account— 在本聲明的簽訂日期，在計算以下任何一個或多於一個項目時，擁有由證券、存款證、存款及/或現金組成，並且不少於港幣\$8,000,000 (或等值外幣)的投資組合— (a) a portfolio in a your own account; 閣下個人帳戶內的投資組合； (b) a portfolio in a joint account with your spouse or any of your children; 閣下和閣下配偶或任何子女的聯名戶口內的投資組合； (c) your share of a portfolio in a joint account with a person other than your associate; and 閣下和並非閣下配偶或子女之人士的聯名戶口內的投資組合，屬於閣下的部份；及 (d) a portfolio of a corporation which, at the signing date of this declaration, is wholly owned by you and is used solely for holding investments. 閣下在本聲明的簽訂日期全資擁有，而且主要業務是持有投資項目的法團的投資組合。	<ul style="list-style-type: none"> <li>A statement of account or certificate issued by a custodian (e.g. banks, licensed corporations, or other custodians) within the last 12 months; 在最近 12 個月內由保管人(例如：銀行、持牌法團、或其他保管人)發出的帳戶結單或證明書；</li> <li>A certificate issued by an auditor or a certified public accountant within the last 12 months; and/or 在最近 12 個月內由核數師或會計師發出的證明書；及/或</li> <li>A public filing submitted by or on behalf of your company within the last 12 months. 由或代表閣下提交的公開檔案。</li> </ul> <p><b>AND</b> <b>及</b></p> <ul style="list-style-type: none"> <li>For item (c), if applicable, you should provide a written agreement showing the share of portfolio between the joint account holders. In the absence of such written agreement, we will deem an equal share of the portfolio in the joint account. (如適用)有關於第(c)項，閣下應提供帳戶持有人之間訂立，訂明屬於閣下的部份的書面協議。如沒有該書面協議，我們將假設該投資組合由閣下及其他帳戶持有人平均地擁有。</li> <li>For item (d), if applicable, you should provide evidence to substantiate your sole ownership on the corporation. (如適用)有關於第(d)項，閣下應提供文件證明該法團由閣下全資擁有。</li> </ul>

## Section 4 (Cont.)

### 第四部份 (續)

## Individual PI and Corporate PI (PI under paragraphs (a) to (d) of Rule 4 of the PI Rules)

### 專業投資者評估 (「專業投資者規則」第四條的第(a)至(d)段所指之專業投資者)

Type 類別	Requirements 準則	Required Supporting Documents 所需的證明文件
<p><input type="checkbox"/> (C) <b>Corporation</b> <b>法團</b></p> <p>Please proceed to <b>Section 5</b> and complete the Corporate PI assessment. 請前往<b>第五部份</b>進行法團投資者評估。</p>	<p>(i) Having a portfolio of not less than HK\$8 million (or equivalent in foreign currency) in securities, certificates of deposit and/or currency deposits or total assets of not less than HK\$40 million (or equivalent in foreign currency) at the signing date of this declaration; 在本聲明的簽訂日期，擁有由證券、存款證、存款及現金組成，並且不少於港幣\$8,000,000 (或等值外幣)的投資組合及/或擁有不少於港幣\$40,000,000 (或等值外幣)的總資產。</p> <p>OR 或</p> <p>(ii) At the signing date of this declaration, being used solely for holding investments and wholly owned by any one or more of the following persons – 在本聲明的簽訂日期，主要業務為持有投資項目，並由以下任何一名或多於一名人士全資擁有 –</p> <p>(a) a <b>Trust Corporation</b> under Type (A); 類別(A)中所指的<b>信託法團</b>;</p> <p>(b) an <b>Individual</b> under Type (B); 類別(A)中所指的<b>個人</b>;</p> <p>(c) a <b>Corporation</b> fulfilling this paragraph or paragraph (i) above; 符合本段及以上第(i)段之<b>法團</b>;</p> <p>(d) a <b>Partnership</b> under Type (D); and 類別(A)中所指的<b>合夥</b>;</p> <p>(e) a PI within the meaning of paragraph (a), (d), (e), (f), (g) or (h) in section 1 of Part 1 of Schedule 1 to the SFO; 符合「證券及期貨條例」附表一第一部“專業投資者”定義第(a), (d), (e), (f), (g)或(h)段的專業投資者;</p> <p>OR 或</p> <p>(iii) Being the sole owner of a <b>Corporation</b> fulfilling paragraph (i) above at the signing date of this declaration. 在本聲明的簽訂日期，全資擁有符合以上第(i)段之準則的<b>法團</b>。</p>	<ul style="list-style-type: none"> <li>Most recent audited financial statement prepared within the last 16 months; 在最近 16 個月內由核數師發出的審計財務報表;</li> <li>A statement of account or certificate issued by a custodian (e.g. banks, licensed corporations, or other custodians) within the last 12 months; 在最近 12 個月內由保管人(例如：銀行、持牌法團、或其他保管人)發出的帳戶結單或證明書;</li> <li>A certificate issued by an auditor or a certified public accountant within the last 12 months; and/or 在最近 12 個月內由核數師或會計師發出的證明書; 及/或</li> <li>A public filing submitted by or on behalf of your company within the last 12 months. 由或代表閣下公司提交的公開檔案。</li> </ul> <p>OR 或</p> <ul style="list-style-type: none"> <li>For paragraph (ii), if applicable, you should provide evidence to prove that your company is wholly owned by one or more of the persons described, and the relevant supporting documents for the person's eligibility to be classified as a PI. (如適用)閣下公司應提供文件證明閣下公司由第(ii)段所述的一名或多於一名人士全資擁有。另外亦應提供相關證明文件證明該人士或該等人士符合專業投資者之定義。</li> <li>For paragraph (iii), if applicable, you should provide evidence to substantiate your company's sole ownership on the <b>Corporation</b>. (如適用)有關於第(iii)段，閣下應提供文件證明該<b>法團</b>由閣下公司全資擁有。</li> </ul>
<p><input type="checkbox"/> (D) <b>Partnership</b> <b>合夥</b></p> <p>Please proceed to <b>Section 5</b> and complete the Corporate PI assessment. 請前往<b>第五部份</b>進行法團投資者評估。</p>	<p>Having a portfolio of not less than HK\$8 million (or equivalent in foreign currency) in securities, certificates of deposit and/or currency deposits or total assets of not less than HK\$40 million (or equivalent in foreign currency) at the signing date of this declaration. 在本聲明的簽訂日期，擁有由證券、存款證、存款及現金組成，並且不少於港幣\$8,000,000 (或等值外幣)的投資組合及/或擁有不少於港幣\$40,000,000 (或等值外幣)的總資產。</p>	<ul style="list-style-type: none"> <li>Most recent audited financial statement prepared within the last 16 months; 在最近 16 個月內由核數師發出的審計財務報表;</li> <li>A statement of account or certificate issued by a custodian (e.g. banks, licensed corporations, or other custodians) within the last 12 months; 在最近 12 個月內由保管人(例如：銀行、持牌法團、或其他保管人)發出的帳戶結單或證明書;</li> <li>A certificate issued by an auditor or a certified public accountant within the last 12 months; and/or 在最近 12 個月內由核數師或會計師發出的證明書; 及/或</li> <li>A public filing submitted by or on behalf of your company within the last 12 months. 由或代表閣下公司提交的公開檔案。</li> </ul>

## Section 5

### 第五部份

## Assessment for Corporate PI

### 法團專業投資者評估

If your company satisfies all three of the criteria below, your company would be classified as a **Qualified Corporate PI**. Otherwise, your company would be classified as an **Unqualified Corporate PI**.

如閣下公司符合以下所有評估準則，閣下公司將會被分類為**合資格法團專業投資者**。否則，閣下公司將會被分類為**未合資格法團專業投資者**。

- (i) Your company has an appropriate corporate structure and investment process and control in relation to the relevant products and/or markets;  
閣下公司就有關產品及/或市場擁有合適的企業架構和投資程序及監控措施；
- (ii) The person(s) responsible for making investment decisions on behalf of your company has/have sufficient investment background and experience in relation to the relevant products and/or markets; and  
負責代表閣下公司作出投資決定的人士就有關產品及/或市場具備充分的投資背景及投資經驗；及
- (iii) Your company and the person(s) responsible for making investment decisions are aware of the risks involved in relation to the relevant products and/or markets.  
閣下公司及負責代表閣下公司作出投資決定的人士就有關產品及/或市場對所涉及的風險有所認知。

Please answer the three questions below:

請回答以下問題：

<p>Please provide the details of your corporate structure and investment processes (i.e. how investment decisions are made, including whether your company has a specialised treasury or other function responsible for making investment decisions).</p> <p>請提供閣下公司就有關產品及/或市場的企業架構和投資程序及監控措施的詳情（即投資決定是如何作出的，包括閣下公司是否設有專門的庫務或負責作出投資決定的其他職能）。</p>	
<p>Please provide the details on the investment background and experience of the person(s) responsible for making investment decisions.</p> <p>請提供負責代表閣下公司作出投資決定的人士就有關產品及/或市場的投資背景及投資經驗。</p>	
<p>Please confirm that your company and the person(s) responsible for making investment decisions are aware of the risks involved in relation to the relevant products and/or markets by checking the box on the right column.</p> <p>請在右邊的方格打勾，以確認閣下公司及負責代表閣下公司作出投資決定的人士就有關產品及/或市場對所涉及的風險有所認知。</p>	<p><input type="checkbox"/> We confirm that we and the person(s) responsible for making investment decisions are aware of the risks involved in relation to the relevant products and/or markets.</p> <p>吾等確認吾等及負責代表吾等作出投資決定的人士就有關產品及/或市場所涉及的風險有所認知。</p>

Please proceed to **Section 6**.

請前往**第六部份**。

## Section 6

### 第六部份

## Right to withdrawal from being treated as a Corporate PI or an Individual PI

### 撤回被視為法團專業投資者或個人專業投資者的權利

Please note that you or your company have/has the right, at any time, in respect of all investment products and/or market or any part thereof, to withdraw from being treated as a Corporate PI or an Individual PI by giving a written notice of not less than 7 business days to us. Unless and until we receive such written notification of withdrawal from you or your company, we will be entitled to treat you or your company as a Corporate PI or an Individual PI.

請留意閣下或閣下公司有權在任何時候，就所有或部份投資產品及/或市場給予我們不少於 7 個工作日的書面通知，以撤回被視為法團專業投資者或個人專業投資者的資格。除非及直至我們收到閣下或閣下公司有關撤回上述資格的書面通知，我們有權繼續將閣下或閣下公司視為法團專業投資者或個人專業投資者。

Please proceed to **Section 7**.

請前往**第七部份**。

**Section 7****第七部份****PI Assessment Result****專業投資者評估結果**

Based on the above assessment, please check the box as appropriate and, again, read the risks and consequences of being treated as a PI set out in Section 2 of this form.

根據以上評估，請在適當位置打勾並再次閱讀在本聲明**第二部份**所列出的被視為專業投資者的風險及後果。

<b>Types</b> <b>類別</b>	<b>Requirements</b> <b>準則</b>
<b>Institutional PI</b> <b>機構專業投資者</b>	<input type="checkbox"/> <p>An entity falling under paragraph (a) to (i) of the definition of "Professional Investor" in Part 1 of Schedule 1 to the SFO. 「證券及期貨條例」附表 1 第 1 部 "專業投資者"定義第(a)至(i)段所指的機構。</p>
<b>Corporate PI</b> <b>法團專業投資者</b>	<p>A trust corporations, corporations or partnerships falling under paragraphs (a), (c) or (d) of Rule 4 of the PI Rules. 「專業投資者規則」第 4 條第(a), (c), 或(d)段所指的信託法團、法團或合夥。</p>
	<input type="checkbox"/> <p><b>Qualified Corporate PI</b> <b>合資格法團專業投資者</b></p> <p>For the purpose of this form, a Qualified Corporate PI means a Corporate PI that satisfies all the three assessment criteria set out in paragraph 15.3A(b) of the Code in relation to the relevant products and markets. 在此聲明書中，合資格法團專業投資者指，就有關產品及/或市場，符合「證監會操守準則」第 15.3A(b) 段所載的全部三項評估準則的法團專業投資者。</p>
	<input type="checkbox"/> <p><b>Unqualified Corporate PI</b> <b>未合資格法團專業投資者</b></p> <p>For the purpose of this form, an Unqualified Corporate PI means a Corporate PI that does not satisfy any or all of the three assessment criteria set out in paragraph 15.3A(b) of the Code in relation to the relevant products and markets. 在此聲明書中，未合資格法團專業投資者指，就有關產品及/或市場，未能符合「證監會操守準則」第 15.3A(b) 段所載的任何一項評估準則的法團專業投資者。</p>
<b>Individual PI</b> <b>個人專業投資者</b>	<input type="checkbox"/> <p>An individual falling under paragraph (b) of Rule 4 of the PI Rules. 「專業投資者規則」第 4 條第(b)段所指的個人。</p>

Please proceed to **Section 8**.

請前往**第八部份**。

**Section 8****第八部份****Client Declaration****客戶聲明**

By signing below, I/we declare that:

在簽署後，本人/吾等謹此聲明：

- I/We have examined the information provided by me/us and confirm the content to be true, correct and complete.  
本人/吾等在此聲明書上所提供的一切資料均屬真實、正確及完整；
- I/We agree to be treated as a PI;  
本人/吾等同意被視為專業投資者；
- I/We have been given a right, at any time, in respect of all investment products and/or market or any part thereof, to withdraw from being treated as a Corporate PI or an Individual PI by giving a written notice of not less than 7 business days to [Sunfund Securities Limited];  
本人/吾等已被賦予權利在任何時候，就所有或部份投資產品及/或市場，給予東皓證券有限公司不少於 7 個工作日的書面通知，以撤回被視為法團專業投資者或個人專業投資者的資格；
- I/We have read and understood the risks and consequences of being treated as a PI set out in Section 2 of this form;  
本人/吾等已閱讀並明白本聲明第二部份中列出的被視為專業投資者的風險及後果；
- I/We agree that Sunfund Securities Limited will not be obligated to provide me/us with any contract notes, statements of account or receipts under the Contract Notes Rules; and  
本人/吾等同意東皓證券有限公司將沒有責任根據「成交單據、戶口結單及收據規則」的要求向本人/吾等提供任何成交單據、戶口結單或收據；及
- I/We agree to provide a confirmation and any supporting documentation to Sunfund Securities Limited as requested by Sunfund Securities Limited from time to time and annually to ensure I/we continue to fulfill the requisite PI classification requirements.  
本人/吾等同意向東皓證券有限公司提供確認書及/或任何相關文件，以確保本人/吾等持續符合成為專業投資者之條件。

**Account holder/ Authorized signatory\***

帳戶持有人/獲授權簽署人

Signature 簽署: \_\_\_\_\_

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

**Account holder/ Authorized signatory\***

帳戶持有人/獲授權簽署人

Signature 簽署: \_\_\_\_\_

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

\* Please delete as appropriate.

請刪去不適用者。